

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Steven M.H. WALLMAN
Serial No. : 09/038,158
Filed : 11 March 1998
For : METHOD AND APPARATUS FOR ENABLING
SMALLER INVESTORS OR OTHERS TO CREATE
AND MANAGE A PORTFOLIO OF SECURITIES OR
OTHER ASSETS OR LIABILITIES ON A COST-
EFFECTIVE BASIS
Group Art Unit : 2773

ASSISTANT COMMISSIONER
FOR PATENTS
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97 & § 1.98**

S I R:


In accordance with Applicants' duty of disclosure under 37 C.F.R. §1.56(a) and §1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

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Date: June 9, 2000

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INVENTOR(S): Steven M. H. WALLMAN

SERIAL NO.: 09/038,158

FILED: March 11, 1998

TITLE: METHOD AND APPARATUS FOR ENABLING SMALLER
INVESTORS OR OTHERS TO CREATE AND MANAGE A
PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES
ON A COST-EFFECTIVE BASIS

PAPERS FILED:

1. INFORMATION DISCLOSURE STATEMENT;
PTO FORM 1449 (64 REFERENCES).



Michael Haynes/jl

10392/46001

June 9, 2000